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PTO/SB/21 (08-00)

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Application Number	09/997,877
Filing Date	November 29, 2001
First Named Inventor	William J. EARL
Group Art Unit	To Be Assigned
Examiner Name	To Be Assigned
Attorney Docket No.	514352000300

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Total Number Of Pages In This Submission

5 Pages + 10
References**ENCLOSURES (check all that apply)**

- | | | |
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| <input type="checkbox"/> Fee Transmittal Form | <input type="checkbox"/> Assignment Papers
(for an Application) | <input type="checkbox"/> After Allowance Communication to Group |
| <input type="checkbox"/> Fee Attached | <input type="checkbox"/> Drawing(s) | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences |
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(Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final | <input type="checkbox"/> Petition | <input type="checkbox"/> Proprietary Information |
| <input type="checkbox"/> Affidavits/declarations | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Status Letter |
| <input type="checkbox"/> Extension of Time Request | <input type="checkbox"/> Power of Attorney, Revocation
Change of Correspondence Address | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): |
| <input type="checkbox"/> Express Abandonment Request | <input type="checkbox"/> Terminal Disclaimer | 1. Form PTO-1449 - 1 page + duplicate copy |
| <input checked="" type="checkbox"/> Information Disclosure Statement - 3 pages | <input type="checkbox"/> Request for Refund | 2. Ten (10) References |
| <input type="checkbox"/> Certified Copy of Priority Document(s) | <input type="checkbox"/> CD, Number of CD(s) _____ | 3. Return Receipt Postcard |
| <input type="checkbox"/> Response to Missing Parts/
Incomplete Application | Remarks | |
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under 37 CFR 1.52 or 1.53 | | |

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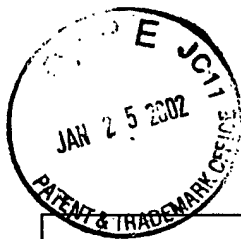
Firm or Individual Name	Morrison & Foerster LLP, 755 Page Mill Road, Palo Alto, California 94304-1018
Signature	Alan S. Hodges (Registration No. 38,185)
Date	January 4, 2002

CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"

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PATENT
Docket No. 514352000300
Client Reference No. ZAM-011

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Technology Center 2100

In the application of:

William J. EARL and Jeff TOFANO

Serial No.: 09/997,877

Filing Date: November 29, 2001

For: FAULT TOLERANCE USING
LOGICAL CHECKPOINTING IN
COMPUTING SYSTEMS

Examiner: To Be Assigned

Group Art Unit: To Be Assigned

**INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. § 1.97 AND § 1.98**

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.

✓ This Information Disclosure Statement is submitted:

- ☐ With the application; accordingly, no fee or separate requirements are required.
- ☒ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☐ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
 - ☐ A fee is required. A check in the amount of * is enclosed.
 - ☐ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly; no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a check in the amount of * is enclosed.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.


Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, Applicants petition for any required relief including extensions of time and authorize the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing 514352000300. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: January 4, 2002

Respectfully submitted,

By: 
Alan S. Hodes
Registration No. 38,185

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Form PTO-1449

INFORMATION DISCLOSURE CITATION
IN AN APPLICATION

(Use several sheets if necessary)



Docket Number 514352000300

Application Number 09/997,877

Applicant

William J. EARL and Jeff TOFANO

Filing Date November 29, 2001

Group Art Unit To Be Assigned

Mailing Date January 4, 2002

U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
	1.	10/14/1980	4,228,496	Katzman et al.			
	2.	05/20/1986	4,590,554	Glazer et al.			
	3.	04/18/1989	4,823,256	Bishop et al.			
	4.	10/13/1992	5,155,678	Fukumoto et al.			RECEIVED
	5.	10/20/1992	5,157,663	Major et al.			FEB 06 2002
	6.	11/08/1994	5,363,503	Gleeson			Technology Center 2100
	7.	10/03/1995	5,455,932	Major et al.			
	8.	04/15/1997	5,621,885	Del Vigna, Jr.			
	9.	09/01/1998	5,802,265	Bressoud et al.			
	10.	10/19/1999	5,968,185	Bressoud et al.			

FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO

OTHER DOCUMENTS

(including author, title, Date, Pertinent Pages, Etc.)

Examiner Initials	Ref. No.	Title

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.